



# NEW MEXICO POLICIES & PROCEDURES

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## RESOURCE SECTION CONTENTS

# DATABASE BUSINESS OPERATIONS GUIDE

THE DOCUMENT CONTAINED HEREIN IS SUBJECT TO CHANGE.

VERSION: 8.2025

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# Database

## Business Operations Guide (DBOG)

As stewards of New Mexico Aging and Long-Term Services Department (NMA LTSD), resources, staff are responsible for conducting their work in the highest ethical fashion. ALTSD expects each person to exercise sound judgment in serving the community. ALTSD acknowledges the challenges inherent in the environment of a large, complex organization. This business operations guide provides a framework for appropriate stewardship of ALTSD resources regarding the use of its consumer services databases. Adhering to the standards and practices in this business operations guide is important to achieving our tradition of excellence in serving older New Mexicans.

The Administration for Community Living (ACL), ALTSD's federal oversight agency, administers programs authorized through a variety of statutes. The ALTSD and its AAAs strive to maintain compliance to these statutes.

### About Community Living

All people, regardless of age or disability, should be able to live independently and participate fully in their communities. Every person should have the right to make choices and to control the decisions in and about their lives. This right to self-determination includes decisions about their homes and work, as well as all the other daily choices most adults make without a second thought.

### Older Americans Act

Congress originally passed the [Older Americans Act](#) (OAA) in 1965 in response to concern by policymakers about a lack of community social services for older persons. The OAA has been reauthorized and amended numerous times, since it was first enacted in 1965. In the 116th Congress, both the House and the Senate passed legislation that would reauthorize the OAA for a five-year period. On March 25, 2020, the President signed the Supporting Older Americans Act of 2020 (P.L. 116-131) which authorizes appropriations for OAA programs through FY2024.

ACL published a final rule in February 2024, to revise the guidelines for carrying out Older Americans Act initiatives. With the ultimate goal of ensuring that the nation's expanding population of older adults can continue to receive the services and supports they need to live—and thrive—in their own homes and communities, the update seeks to better support the national aging network that provides OAA services and improve program implementation. The 2024 Older Americans Act final rule, which is the first significant change to the majority of OAA program regulations since 1988, corrects many requirements, brings regulations into compliance with the current statute, and addresses concerns that have come to light since the last update.

**The document contained herein is subject to change.**

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## OVERVIEW

### **Purpose**

This business operations guide provides standards and practices for creating, planning, programming, monitoring, budgeting, and executing WellSky databases. It applies to all individuals at all levels who prepare, enter, manage, collect, report, review, approve, disseminate and/or use the databases (Users). This document serves as overall guidance and may be supplemented; supplements are stand-alone documents that are created, updated, and rescinded by the author and held above the minimum standards. All records created as a result of practices in this guide must be maintained and disposed of in accordance with ALTSD requirements. Detailed references are listed in Attachment 1.

### **Background**

New Mexico aging programs and services have used **WellSky** software since 1998 for meeting the reporting requirements of the US Administration for Community Living/Administration on Aging. This software is the basis of the New Mexico aging programs information system.

### **Authority**

Includes Titles III and VII of the federal Older Americans Act of 1965 (OAA); State Performance Report, OMB Control No.: 0985-0072); the federal Health Insurance Portability and Accountability Act of 1996 (HIPAA); the New Mexico Accountability in Government Act, NMSA 1978 6-3A-1 *et seq.*; agreements between ALTSD and New Mexico Area Agencies on Aging (AAA), including the Indian Area Agency on Aging (IAAA) and other governmental entities as specifically referenced in this Guide.

### **Applicability**

This guide applies to all users of WellSky software and the Aging & Disability (A&D), Human Services, Central Registry, Ombudsman databases.

### **Distribution**

This guide is distributed to all licensed WellSky database users.

### **Accessibility**

This guide is accessible online for printing by individual users and may not be distributed without the express permission of ALTSD or the AAAs.

## Revision History

<b>Document #</b>	
<b>Effective Date</b>	Immediately upon release
<b>Revision Date</b>	6/25/2021
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6/26/18	001	Update SBOG Form 510	Attachment 2—Forms
11/29/2018	002	Annual Update SBOG	Entire Document
8/7/2019	003	ACL Statutes	Page 2
8/7/2019	004	1.3.4	Page 6 (italics)
8/7/2019	005	10.1.4	Page 17(italics)
8/7/2019	006	Annual Update DBOG	Entire Document
8/17/2020	007	ALTSD WellSky Databases	Entire Document
8/17/2020	008	APS + Ombudsman	Section to be developed
12/10/2020	009	APS Revision 20 + 21	Page 25
6/25/2021	010	Replaced SAMS with A&D	Pages 1–38
6/25/2021	011	Replaced Mediware with WellSky	Pages 1–38
6/25/2021	012	Replaced SAMScan with ServiceScan	Pages 1–38
6/25/2021	013	Created State Unit on Aging (SUA) Update	Page 7
6/28/2021	014	Revised testing process for new staff	Page 37
9/9/2021	015	Revised WellSky A&D Training List	Page 37
12/9/21	016	Revised WellSky A&D Training List	Page 37
6/28/22	017	Replaced Harmony with WellSky	Throughout the document
6/28/22	018	Replaced Aging & Disability with A&D	Throughout the document
6/28/22	019	Deleted Form 530—no longer applicable	Page deleted
6/28/22	020	Replaced Ombudsmanager with Ombudsman	Throughout the document
6/28/22	021	Replaced Harmony with APSS Human Services	Throughout the document
7/1/22	022	Updated OAAPS references to meet ACL guidance	Pages: 2, 7, 18, 19, 21, 22, 23, 24, 28, 30, 31, 33, 39, 40, 41
7/1/22	023	Removed external license application. NM SUA will pay for all WellSky licenses.	
5/2/23	024	Revised relevant dates to 2023.	All document pages
7/1/23	025	Form 520	Pages 36–37
7/1/23	026	Form 540	Page 39
7/1/23	027	Summary Enhancements	Page 40
8/2/23	028	ALTSD Desk Reference Title III Clusters	Page 44
7/29/24	029	Revised DBOG dates to 2024.	All document pages
7/29/24	030	Updated OAAPS submission dates	Page 7
7/29/24	031	WellSky Training Update	Page 40
7/29/24	032	Revised Units of Service are attached to this document.	Page 41

## State Unit on Aging (SUA) Update July 2024

- **OAAPS**—Older Americans Act Performance System is the software tool used by State Units on Aging (SUAs) to submit the required State Performance Report (SPR) to the Administration for Community Living (ACL). The [Title III State Performance Report \(SPR\), OMB Control No.: 0985-0072](#) summarizes data collection requirements for the SPR.
  - ★ ALTSD requires that the AAAs utilize the OAAPS tool and all required system processes to report to the SUA. The AAAs shall make any changes to their client assessment forms to match the reporting requirements in OAAPS. For more information, please see section 7 of this guide.
- **OAAPS** implementation timeframe:
  - ★ October 2024 (FFY2025): Began collecting Title III data using the SPR requirements.
  - ★ January 2025: AAAs will submit FFY2025 data into Title III OAAPS
  - ★ Not later than January 31, 2025: ALTSD shall submit the SPR through OAAPS to ACL.
- Both **ACL** and **WellSky** have held webinars for the State SUAs and team meetings to resolve issues and update the status of the implementation of OAAPS.
- **Units of Service Definitions**—The **OAAPS Unit of Service Definitions** were revised **September 2025** with an Implementation Date of 10/1/2025. The Units of Service Definitions came from the [Title III State Performance Report Appendix A Definitions](#).

## Aging & Disability (A&D) [Formerly SAMS] Users

### 1. ALTSD Database User Group

**1.1. Persons affected:** All members of the ALTSD Database User Group

**1.2. Standards:**

1.2.1. The ALTSD Database User Group:

1.2.1.1. Is a voluntary group, established by ALTSD, comprised of ALTSD, AAA, and Provider users of the WellSky and OAAPS databases

1.2.1.2. The group is to have ALTSD representative(s), representative(s) from each AAA, and may have representative(s) from each Provider level user

1.2.2. Decisions in the ALTSD Database User Group will:

1.2.2.1. Be based on consensus of the members in attendance

1.2.2.2. Become recommendations made to ALTSD senior management team

**1.3. Responsibilities:**

1.3.1. NMALTSD division directors are responsible for ensuring compliance with these standards and practices

1.3.2. NMALTSD, AAA, and Provider users are expected to adhere to these standards and related practices when participating in ALTSD Database User Group meetings

1.3.3. NMALTSD designated users shall coordinate, facilitate, and/or participate in ALTSD Database User Group meetings

1.3.4. AAAs and other Providers may assign representatives to participate in the ALTSD Database User Group

**1.4. Practices:** This section covers the activities performed by the ALTSD Database User Group. All attendees at ALTSD Database User Group meetings are considered participating members.

1.4.1. ALTSD Database User Group members shall:

1.4.1.1. Commit to ALTSD Database User Group participation

1.4.1.2. Attend meetings

1.4.1.3. Review draft documents, as requested, and provide comments

1.4.1.4. Share expertise

1.4.1.5. Assist with WellSky strategic planning, as requested

1.4.2. NMALTSD designated staff shall:

1.4.2.1. Schedule, attend, and facilitate regular meetings (or designate an acting facilitator in the absence of designated ALTSD staff)

1.4.2.2. Create an agenda with ALTSD Database User Group member input

1.4.2.3. Distribute the agenda and draft notes of previous meeting to all user group members no less than 7 calendar days prior to each scheduled meeting

1.4.2.4. Provide reports if needed

1.4.2.5. Report decision items, and make recommendations to ALTSD senior management team

1.4.2.6. Take accurate notes (including attendance records) of each user group meeting

1.4.2.7. Ensure that user group members have the option to attend in person, by phone, or internet

### 2. ALTSD Database User Group Chair

**2.1. Persons affected:** ALTSD Database User Group Chairs

**2.2. Standards:**

2.2.1. The ALTSD Database User Group chair(s) is a user of the WellSky databases and is appointed by the ALTSD cabinet secretary

2.2.2. The ALTSD Database User Group chair(s) is expected to discharge his/her duties with care, skill, prudence, and diligence while conducting business

2.2.3. Decisions of the ALTSD Database User Group are to be submitted by the chair(s) as recommendations to ALTSD senior management team

**2.3. Responsibilities:**

2.3.1. NMALTSD division directors are responsible for ensuring compliance with these standards and practices

2.3.2. The ALTSD Database User Group chair(s) is expected to adhere to these standards and related practices when participating in ALTSD Database User Group meetings

2.3.3. NMALTSO designated staff shall coordinate, facilitate, and/or participate in the ALTSO Database User Group as chair(s)

**2.4. Practices:** This section covers the activities performed by the ALTSO Database User Group chair(s). All attendees at ALTSO Database User Group meetings are considered participating members. The ALTSO Database User Group chair(s) shall:

2.4.1. Commit to ALTSO Database User Group participation

2.4.2. Attend meetings

2.4.3. Review draft documents, as requested, and provide comments, feedback, and expertise

2.4.4. Assist with WellSky strategic planning, as requested by ALTSO management which may include:

2.4.4.1. Ensuring that each AAA has a program representative

2.4.4.2. Identifying AAA and provider business practices being used with WellSky

2.4.4.3. Identifying and implementing "best practices" of monitoring, evaluating, and reporting WellSky data, and of training WellSky users

2.4.5. Assess risks associated with WellSky users and implement mitigation strategy(s)

2.4.6. Schedule, attend, and facilitate regular meetings of the user group (or designate an acting facilitator in the absence of designated ALTSO chair(s))

2.4.7. Create an agenda for each meeting with ALTSO Database User Group member input

2.4.8. Distribute the agenda and draft notes of previous meeting to all user group members no less than 6 calendar days prior to each scheduled meeting

2.4.9. Provide reports if needed

2.4.10. Report user group decision items, and make recommendations to ALTSO senior management team

2.4.11. Appoint a participating member to take accurate meeting notes (including attendance records) of each user group meeting

2.4.12. Ensure that user group members have the option to attend meetings in person, by phone, or internet

### **3. System Administrators (NMALTSO)**

**3.1. Persons affected: ALTSO IT WellSky System Administrators**

**3.2. Standards:** The administrator of the WellSky database is to be an employee of ALTSO assigned by ALTSO Chief Information Officer (CIO)

**3.3. Responsibilities:**

3.3.1. Serve as liaison with WellSky to manage the database and the application, establish policies and operating practices, assign user logins, contract with WellSky to license use of the A&D database.

3.3.2. Coordinate individual efforts to facilitate communication and cooperation between all users

3.3.3. Cooperate with ALTSO and AND/SSB to facilitate data review and duplicate resolution

3.3.4. Maintain an up-to-date list of each user and his/her assigned user ID

3.3.5. Make changes if a new user is added; if a user no longer requires access to the A&D database; if a user terminates employment; or if security is compromised

**3.4. Practices:**

3.4.1. User ID changes or additions are to be submitted to the administrator by AAA users via email or fax. Each submission includes the level of access required, a signed confidentiality agreement and assurance of training. Under normal circumstances, changes and additions are to be made by the administrator within 5 business days.

3.4.2. If data is compromised, a Provider is to notify its AAA immediately upon discovery; AAAs are to notify the administrator immediately upon discovery or notification from a Provider. Notification is to include the user's name and organization. The ~~Harmony~~ WellSky portal user ID and database user IDs are to be disabled as soon as possible by the ALTSO or AAA administrator.

3.4.3. Each ALTSO division provides training and user support (help desk) for its users and to help ensure data quality

3.4.4. Each ALTSO division is to conduct assessments of users of the WellSky database regarding data entry and collection efforts



- 3.4.5. The administrator(s) is to enforce ALTSD standards and security/confidentiality agreements
- 3.4.6. The administrator(s) is to attend meetings of the ALTSD Database User Group

## **4. Agency Users**

**4.1. Persons affected:** AAA users and ALTSD divisions

**4.2. Standards:** AAA users are to comply with ALTSD policy and security/confidentiality agreements

**4.3. Responsibilities:**

- 4.3.1. Work collaboratively with ALTSD on issues related to the database
- 4.3.2. Utilize the WellSky databases, and related administrative tables
- 4.3.3. Provide feedback to ALTSD on all WellSky database system related activities
- 4.3.4. Develop additional operational guidance for provider level users as approved by ALTSD
- 4.3.5. Monitor the users under its auspices regarding security, data collection, and other issues
- 4.3.6. Provide ongoing training and technical assistance as needed
- 4.3.7. Ensure that data entered in the WellSky databases is accurate and entered no later than the 15th working day of the month following the month for which data is being reported
- 4.3.8. Validate data entered into the WellSky databases application by users under its auspices no later than the 15th working day of the month following the month for which data is being reported
- 4.3.9. Establish dates by which provider level users are to enter and validate data
- 4.3.10. The Contractor and providers shall make every effort to collect all information on the client intake and assessment forms. Missing data shall not exceed 7% for any category.
- 4.3.11. Review provider and site information every state fiscal year and update as necessary
- 4.3.12. Report to ALTSD misuse of data or failure to comply with New Mexico WellSky databases policies and procedures
- 4.3.13. Notify the ALTSD at least two weeks in advance when WellSky A&D hosting licenses are needed

## **5. All Aging & Disability (A&D) Users**

**5.1. Persons affected:** All users of the A&D database

**5.2. Standards:**

- 5.2.1. Access to A&D data will be as broad as possible, consistent with the classification of the data, role(s) and responsibilities of a user, and level of training
- 5.2.2. Data will be classified according to its sensitivity as per the standards defined in this document
- 5.2.3. Internal information is intended for use by, and made available to, ALTSD, AAA and Contract Provider (Provider) who have a business need to know
- 5.2.4. Legally/Contractually restricted information is required to be protected by applicable law or statute (Example: HIPAA), and includes information that, if disclosed to a non-user or a user without the appropriate classification to access the data, may expose ALTSD to criminal and civil penalties and the individual user to the same
  - 5.2.4.1. Only those authorized may enter consumer service data and service units, or create and run reports, in the A&D database
  - 5.2.4.2. If users consistently enter erroneous data during a quarter, users may be subject to loss of Aging and privileges up to and including termination of users' authorizations by their supervisors
  - 5.2.4.3. If any ALTSD employee allows unauthorized access to the A&D database, he or she may be subject to discipline, up to and including dismissal. If ALTSD employees allow unauthorized access to the A&D database, they may be subject to loss of A&D privileges, up to and including termination of user authorization
- 5.2.5. Data regarding consumers receiving services or assessments through Providers is to be entered in the A&D database. ALTSD divisions, AAAs, and Providers are to develop standards and practices ensuring compliance with ALTSD—A&D database policies and procedures.

**5.3. Responsibilities:**

- 5.3.1. NMALTSD Division Directors are responsible for ensuring compliance with these standards and practices

- 5.3.2. NMALTS, AAA, and Provider users shall adhere to these standards and related practices when entering data and creating and running reports in the A&D database
- 5.3.3. Designated ALTS, AAAs and Provider users will review, monitor, and ensure accurate data entry
- 5.3.4. *If altering data after the 18th of the current month, entities at all levels who have the authority to lock or unlock the A&D database will notify ALTS Information Technology Division (IT) and ALTS and AND/SSB when locking and unlocking the A&D database. If this process is not followed, access to locking and unlocking the A&D database may be revoked.*

**5.4. Practices:** This section covers database activities performed by A&D users

- 5.4.1. Each A&D user
  - 5.4.1.1. Is designated as a member of ALTS, one of the AAAs, or a Provider
  - 5.4.1.2. Must sign a Confidentiality Agreement—WellSky Business operations guide (DBOG) Form 500
  - 5.4.1.3. Will receive a secure login in from the ALTS IT Division
- 5.4.2. Two weeks prior to requiring A&D access, a WellSky User Request Form—DBOG Form 510 must be submitted to ALTS IT. IT staff will:
  - 5.4.2.1. Add a WellSky portal user account and set the password
  - 5.4.2.2. Set the password to be changed by the user on initial login
  - 5.4.2.3. Set user access role(s) for A&D users internal to ALTS, AAA administrators will set user access role(s) for their users
  - 5.4.2.4. Provide the login link, username, and password to the A&D user
- 5.4.3. A&D training requirements
  - 5.4.3.1. Users must complete training per their designation prior to using the A&D database, and document training on DBOG Form 540
  - 5.4.3.2. IT will provide user access only after DBOG Form 540 is completed submitted to Data Unit, which shall keep all completed forms on file
  - 5.4.3.3. ALTS or AAA users will send directions, including screenshots showing the location of the training modules in the WellSky portal, to newly designated users
  - 5.4.3.4. The user will complete all identified *WellSky Training* modules in the WellSky portal under *WellSky Quick Links* for his/her role as a ALTS, AAA, or Provider user prior to using the A&D database
  - 5.4.3.5. After completing the identified training modules, the user will be qualified to access the A&D database
- 5.4.4. Each ALTS division, AAA, and Provider must develop its own standards and practices to align with the A&D database policies and procedures. These standards and practices must:
  - 5.4.4.1. Document efforts to protect information and be complete and comprehensive so that a reasonable observer would agree that appropriate steps are being taken to safeguard information from accidental or unauthorized release
  - 5.4.4.2. Inform parties of the sensitivity and intended use of the information
    - 5.4.4.2.1.1. Clarify the business driver for the information
    - 5.4.4.2.1.2. Alert the parties to the protections required
  - 5.4.4.3. Clearly describe the shared responsibilities for information protection
  - 5.4.4.4. Contain safeguards and best practice as a condition for access
  - 5.4.4.5. Provide a baseline for technical, security, and process qualifications required to use the A&D database
  - 5.4.4.6. Define under what circumstances, if any, the values of data items may be changed
  - 5.4.4.7. Have clear requirements for training
  - 5.4.4.8. Deliver a clear definition of shared responsibility and accountability
  - 5.4.4.9. Include a component to certify employee adherence

- 5.4.5. After an A&D user has completed required A&D training, and been certified as to policy and procedure compliance, ALTSD, an AAA, or a Provider may allow the user to enter data in the A&D production database
- 5.4.6. If a user leaves ALTSD, a AAA, or a Provider, IT must be contacted within 5 business days to disable the user account
- 5.4.7. If a user is inactive for three months, the user account and the portal account will be deactivated by an AAA or by IT
- 5.4.8. Locking and unlocking the A&D database
  - 5.4.8.1. Each entity that has the authority to lock or unlock the A&D database is to submit a Helpdesk ticket to IT with a copy to the Data Unit when locking and unlocking the database. Each Helpdesk ticket will include, as a minimum, the start date for locking/unlocking the database and the end date for locking/unlocking the database
    - 5.4.8.1.1. AAAs are to submit a Helpdesk ticket to IT with a copy to the Data Unit before locking or unlocking the A&D database. If this process is not followed, access to locking and unlocking the A&D database may be revoked
    - 5.4.8.1.2. The Aging & Disability Resource Center (ADRC) and Office of Alzheimer's and Dementia Care (OADC) are to submit Helpdesk tickets to IT with a copy to the Data Unit for the A&D database to be locked or unlocked
    - 5.4.8.1.3. IT and the Data Unit are to verify that the database is locked on the end date
- 5.4.9.

## 6. Provider Users

- 6.1. **Persons affected:** Provider users
- 6.2. **Standards:** All Provider level users are to function under the direction of an applicable AAA regarding the use of A&D database
- 6.3. **Responsibilities:**
  - 6.3.1. Participate in A&D database training
  - 6.3.2. Develop and provide end user training as required and approved by an applicable AAA
  - 6.3.3. Register consumers and enter data and assessments into the A&D database or send data to an AAA to enter data and assessments into the A&D database
  - 6.3.4. Collect service data and enter it into the A&D database monthly or send data to an applicable AAA to enter into the A&D database
  - 6.3.5. Ensure that data entered in the A&D database is accurate, and is entered and validated by the date established by an applicable AAA
  - 6.3.6. Comply with ALTSD policy, security/confidentiality agreements and additional operational guidance as developed by an applicable AAA

## Older Americans Act Performance System (OAAPS)

## 7. Purpose, State Responsibilities, AAA Responsibilities, Resources

- 7.1. **Purpose:** OAAPS is the software tool used by State Units on Aging to submit the annual State Performance Report (SPR) to ACL. The SPR is the annual report on State formula grants under Titles III and VII (Chapters 3 & 4) of the Older Americans Act. After SUAs submit their SPR, ACL staff use the tool to review and approve the submissions. The OAAPS software includes features for data entry, validation, quality analysis, and approval.
- 7.2. **State Responsibilities:**
  - 7.2.1. Enter state level data
  - 7.2.2. NMALTSD has given the AAAs responsibility for PSA and provider data entry into OAAPS
  - 7.2.3. Reviewing and approving AAA submissions. Return AAA submissions for corrections if necessary
  - 7.2.4. Entering data identified as the responsibility of the State
  - 7.2.5. Merging data entered by the State with approved submissions by the AAAs to create the State-level submission for ACL

- 7.2.6. Validate State-level data set and generating variances
- 7.2.7. Provide explanations for variance as needed and submitting for ACL for review.

### **7.3. AAA Responsibilities:**

- 7.3.1. Enter Data
- 7.3.2. Validate Data
- 7.3.3. Generate Variances
- 7.3.4. Enter Variance Explanations
- 7.3.5. Submit data to ALTSD

### **7.4. OAAPS Resources:**

- 7.4.1. NMAALTS and the Area Agencies on Aging can find a myriad of useful information on the resource page of the ACL OAAPS Website.
- 7.4.1.1. <https://oaaps.acl.gov/Resources/oaapsRes>

## **ENTERING CONSUMER DATA**

### **8. Privacy and Confidentiality**

- 8.1. Through the course of serving consumers, coordinating care, and working with WellSky, users will collect highly personal and confidential information about consumers. Examples of confidential information include Social Security numbers, medical conditions, income, assets, living arrangements and relationships with family members. Such information must be treated as completely confidential. Any breach of confidentiality concerning consumers may result in severe penalties up to dismissal, as well as possible prosecution to the fullest extent of the law, where applicable.
- 8.2. The ALTSD Confidentiality Agreement as attached in form DBOG 500 is incorporated by reference into this guidance and must be followed by all WellSky users
- 8.3. AAAs must provide training and guidance to staff regarding: WellSky Database Policy, Privacy Policies, and form DBOG 500 (Confidentiality Agreement)
- 8.4. Confidential information and documents must:
  - 8.4.1. Be stored in locked cabinets when not in use
  - 8.4.2. Not be used in any area where they can easily be observed
  - 8.4.3. Not be removed from a work site without specific authorization to do so
  - 8.4.4. Follow state and federal records retention policies
- 8.5. Users must:
  - 8.5.1. Immediately notify their supervisors of any possible violation of consumer confidentiality
  - 8.5.2. Shut down and log out when a workstation is unattended
- 8.6. Data Unital consumer files are not to be downloaded to any hard drive, CD, thumb drive or other media

### **9. Use of Data**

- 9.1. Data collected is used by ALTSD, the AAAs and service providers to:
  - 9.1.1. Develop care plans and/or coordinate care for consumers
  - 9.1.2. Meet federal Administration for Community Living/Administration on Aging reporting requirements through the Title III State Performance Report (SPR), (OMB Control No.: 0985-0072), last revised date: 07/20/2021, expiration date: 07/31/2024. The Older Americans Act (OAA) gives ACL authority to collect this level of data, see § 203(f)(1).
  - 9.1.3. Meet reporting requirements of the New Mexico Accountability in Government Act, NMSA 1978 6-3A-1 *et seq.*
  - 9.1.4. Administer a coordinated, efficient, and effective service delivery system by measuring service units and costs
  - 9.1.5. Provide additional reports and projections for planning, reporting, and forecasting

## 10. Security

- 10.1. Crucial to protecting consumer information and to protecting the system from intrusion, security is every user's responsibility and must be maintained at all times. User access to WellSky is defined by user role. All WellSky users must adhere to the following:
  - 10.1.1. Complete training and read, sign, and follow form DBOG 500 (Confidentiality Agreement)
  - 10.1.2. Never share user IDs or passwords with anyone; all user IDs and passwords must remain confidential and secure
  - 10.1.3. Log out when the system is unattended or access to the WellSky database is no longer needed
  - 10.1.4. Protect computers used to access WellSky with anti-virus software with the most recent anti-virus profiles and anti-virus protection enabled
  - 10.1.5. Maintain the operating system and the web browser software used to access Harmony with the most recent security patches and software upgrades
- 10.2. If security is compromised:
  - 10.2.1. Provider level users shall notify the appropriate AAA immediately upon discovery
  - 10.2.2. AAAs and Agency level users are to notify ALTSD administrator immediately upon discovery or notification from a Provider
  - 10.2.3. Notification must include the user's name and organization; the Harmony user ID will be disabled as soon as possible
  - 10.2.4. As soon as the administrator becomes aware that data security has been compromised, he/she must immediately notify the CIO so that it may take all necessary steps to investigate the incident and limit further data loss or intrusion. In addition, within ten calendar days of discovery or notification of a likely security breach, the administrator must notify the consumer or consumers in writing that their personal information has likely been compromised

## 11. Registering Consumers

- 11.1. Certain types of consumers must be registered in the WellSky database system so that services received can be tracked by consumer. At a minimum, the following types of consumers must be registered (AAAs may add more requirements):
  - 11.1.1. Consumers receiving social supportive services, home-delivered meals, adult day care, congregate meals, and health promotion/disease prevention
  - 11.1.2. Caregivers and care recipients receiving respite care, supplemental services, counseling, support group services, and/or caregiver training
  - 11.1.3. Grandparents and other older adult caregivers serving children receiving respite care, supplemental services, counseling, support group services, and/or caregiver training
  - 11.1.4. Consumers contacting the ADRC—*users cannot change or update social security numbers or dates of birth on consumers who are enrolled for services with the AAAs without consultation with the affected AAAs*
  - 11.1.5. Adult Protective Services has begun using the AAA Nutritional Services assessment as part of all APS investigations. The AAAs shall require Aging Network Providers who receive referrals of clients to accept any Department approved assessments, such as Adult Protective Services assessments, to determine appropriate or necessary services. Acceptance of such assessments will allow providers to expedite referral for immediate services to vulnerable APS clients.

## 12. Minimum Standards of Required Data to be Collected from Consumers

- 12.1. Assessment tools/documents shall be modified to contain the appropriate data elements as required by ACL through the Title III State Performance Report (SPR), OMB Control no.: 0985-0072 as well as meet the required definitions and service unit measures listed in the Title III State Performance Report Appendix A Definitions. The Universal Consumer Information Tool (UCIT) is being implemented 10/1/2024. This tool will ensure that the Area Agencies on Aging shall be collecting identical data



### 13. Consumer Groups for Non-Registered Clients Only

- 13.1. Data entry regarding service use by non-registered consumers is to be entered in the *consumer group* category. In accordance with each respective AAA policy, non-eligible individuals (those who do not have a consumer record) may purchase services that must be tracked and accounted for in the A&D database
- 13.2. Providers that offer the Family Caregiver Program (Title III E) must set-up and utilize at least one additional *consumer group*: Caregiver Program

Type of Funding Source	Entities	EXAMPLE
Title III and state general funds and local funds	<b>Federally recognized</b> — PSA 1, PSA 2, PSA 3, PSA 4 <b>Federally designated</b> — City of ABQ/Bernalillo County AAA, Non-Metro AAA	All reports, rosters and routes are to be identified with the name of the PSA administered by an AAA—the Provider—the consumer group type ( <i>Example: PSA2—City of Santa Fe—eligible consumers Title III</i> )

- 13.3. *Consumer groups* shall be created in A&D using the following parameters:

- 13.3.1. Eligible Consumers—Title III
- 13.3.1.1. Consumer age is 60 or older or a spouse of someone age 60 or older
- 13.3.1.2. Provider name
- 13.3.2. Guest Meals (Paying Guests)
- 13.3.2.1. Consumer age is less than 60 (not eligible)
- 13.3.2.2. Provider name
- 13.3.3. Staff Meals (Staff age 59 or younger)
- 13.3.3.1. Consumer age is less than 60 (not eligible)
- 13.3.3.2. Provider name
- 13.3.4. Services for IAAA Non-Registered Consumers (guests, staff, and volunteers)
- 13.3.4.1. Consumer age is 50 or older (or as determined by Tribal Administration)
- 13.3.4.2. Agency name

### 14. Registration Process

#### 14.1. Registration

- 14.1.1. Paper or automated registration forms are to be completed with the following minimum data:
- 14.1.1.1. Consumer legal name, gender, residential address, **last 4 digits of SSN\***, DOB, phone number, ethnicity, Provider and AAA  
**\*(The guidance for the use of Social Security Numbers is currently under review by ALTSD management and requires a vendor agreement/contract to modify the current status.)**
- 14.1.1.2. Activities of Daily Living (ADL) or Instrumental Activities of Daily Living (IADL) assessments/reassessments
- 14.1.1.3. Nutrition assessments/reassessments—Nutrition assessments shall contain the same information and score in the same way as the “Determine Your Nutritional Health” Checklist
- 14.1.2. Consumer data must be entered into the A&D database within 10 working days:
- 14.1.2.1. Prior to registering a consumer, users are to search the statewide database to determine if a consumer is already registered
- 14.1.2.2. If assessment reveals a need for service(s) not available from the initial provider, then the initial provider is to make a referral; the consumer record is to be shared
- 14.1.3. With regard to the Non-Metro and Albuquerque/Bernalillo County AAAs, the following services may require creation of a care plan/service plan in order to allow for data entry: chore services, home-delivered meals, homemaker services, home repair/renovation/maintenance, personal care, evidence-based services, and respite

## **14.2. Data to Be Collected**

- 14.2.1. Data collected includes the minimum data needed to develop care plans, coordinate care, develop service invoices and meet reporting requirements
- 14.2.2. Data is collected on consumers (persons served) and services provided (units)
- 14.2.3. Data collected on consumers who require consumer registration may include first name, last name, gender, residential address, date of birth, ethnicity, race, phone number, health information and assessments, limitations in performing ADLs, limitations in performing IADLs, nutrition assessments and caregiving responsibilities
- 14.2.4. Additional data may be requested to develop care plans, coordinate services and provide benefits counseling
- 14.2.5. Data collected on services includes service provider, service site (if applicable), date of service, service program, service, subservice (if applicable) and units of service provided
- 14.2.6. An AAA may require the collection of additional data, and its providers may collect additional data if approved by the AAA
- 14.2.7. All forms used to collect data must comply with guidance from ALTSD and the AAA as well as meet the level of detail required by ACL.

## **15. Linking Caregivers to Care Recipients**

- 15.1. Caregivers and care recipients must be registered and their consumer records must be linked in the A&D database under *details* in the A&D database record
- 15.2. Sometimes consumers directly request services from multiple providers; therefore, prior to registering a consumer, users are to search the statewide database to determine if a consumer is already registered

## **16. Registration for a Waiting List**

- 16.1. Consumers must be registered even if they cannot be provided with service immediately
- 16.2. It is important to document unmet needs
- 16.3. The AAA shall report to ALTSD the status of waitlists quarterly and strategies to reduce or eliminate the waitlists.

## **17. Frequency of Data Collection**

- 17.1. Service data is to be collected at the time of service and entered into the A&D database weekly

## **18. Data Reconciliation, Verification and Validation**

- 18.1. Accuracy of data is critical. Users are the key to accurate data. Each month, the data entered in the system is to be reviewed or approved at the AAA Level or Agency user level
- 18.2. Each AAA is to have policies and procedures in effect to validate data entered into the A&D database at the Provider level and the AAA level
- 18.3. Validation is to be accomplished by the 15<sup>th</sup> calendar day of each month
- 18.4. **ALTSD IT is to lock the database at close of business on the 18<sup>th</sup> calendar day of the month. If the 18<sup>th</sup> day falls on a weekend or a holiday, the database is to be locked the following working day**
- 18.5. If a Provider or an AAA has ample reason, the database may be unlocked by the AAA administrator or ALTSD IT, upon submission of a helpdesk ticket, to allow for data entry or adjustment

## 19. Working in Aging & Disability (A&D)

### 19.1. Reports, rosters, and routes

19.1.1. All reports, rosters and routes are to be identified as follows:

Reports, Rosters, and Routes—Naming Convention		
Report, Roster, Route	Entities	EXAMPLE
<input checked="" type="checkbox"/> Report <input checked="" type="checkbox"/> Roster <input checked="" type="checkbox"/> Route	<b>AAAs—</b> City of ABQ/Bernalillo County AAA, Non-Metro AAA, Indian AAA, Navajo AAA <b>PSAs Administered—</b> PSA 1, PSA 2, PSA 3, PSA 4, PSA 5, PSA 6	All reports, rosters and routes are to be identified with the name of the PSA administered by an AAA—the Provider—the data type <i>(Example: PSA2—City of Santa Fe—Meals)</i>
<input checked="" type="checkbox"/> Report	<b>Provider Organization that receives funding directly from the ALTSD—</b> <b>*Example—</b> Alzheimer's Association	All reports are to be identified with ALTSD—the Provider Organization—the data type <i>(Example: ALTSD—Alzheimer's Association—EData Unitcation)</i>
<input checked="" type="checkbox"/> Report	<b>Provider Organization that receives funding directly from an AAA—</b> <b>*Example—</b> Alzheimer's Association	All reports are to be identified with the name of the PSA administered by the AAA—the Provider Organization—the data type <i>(Example: PSA1— Alzheimer's Association—Homemaker Respite)</i>
<input checked="" type="checkbox"/> Report	Divisions, Bureaus, and sub-entities in the ALTSD	All reports are to be identified with the name of the ALTSD Division—the sub-entity—the data type <i>(Example: AND—OADC—performance measure 7)</i>

19.1.2. Users have access to all rosters and routes. Users are not to make changes to roster(s) or route(s) of users other than those for which they have responsibility

19.1.3. Users who track service delivery may have access to consumer data. Users may update existing data when necessary to ensure accuracy, as well as for care planning and care coordination

### 19.2. Activity and Referral

19.2.1. AAA or ADRC users are to submit complaints from consumers through an “*Activity and Referral*” in which “*consultation*” is to be selected in the action field; the organization being complained about is to be selected in the agency field; “*referred*” is to be selected in the status field; and “*consumer complaint*” is to be recorded in the subject field

19.2.2. In order to coordinate care, the ADRC, the AAAs and some providers can send “*Activity and Referral*” requests through the A&D database to one another following the A&D database training protocol. Notes must be added to the “*Activity and Referral*” that explain the status of the referral. Entries in the “*Activity and Referral*” field must be reviewed within **three business days** of their creation, and their status changed to “*Received*”. Activities and referrals must be reviewed by applicable AAA or ADRC Agency Level Users before a status change is made

### 19.3. Default Agency

19.3.1. Consumers may be served by multiple AAAs or Providers. Each AAA or Provider serving a consumer may update the consumer record, including the “Default Agency”. However, the “Default Agency” is to be determined by the permanent residence of the consumer, and the “Default Agency” is not to be changed unless a consumer’s permanent address changes

19.3.2. Consumer records are not to be deleted from the A&D database by users. If an error occurs and a consumer record needs to be deleted, the user is to email a *Change Request Form* to the “Default Agency” with consumer identifying information and the reason deletion is necessary



- 19.3.3. Any Data duplicate consumer records are to be merged by the “Default Agency”. If there is more than one “Default Agency” as a result of duplication, the staff of the Agencies are to initiate verbal communication prior to merging duplicate records. Users within and between “Default Agencies” are to be alerted that potential duplicate records need to be merged and reach concurrence on who should merge the records. ALTSD/AND/SSB will perform regular data reviews and notify the agencies involved. A search is to be conducted prior to creating a consumer record to avoid adding a duplicate record.

**19.4. Default Provider**

- 19.4.1. Consumers may be served by multiple service providers. Each service provider serving a consumer may update the consumer record, including the “Default Provider”
- 19.4.2. The “Default Provider” is determined by the permanent residence of a consumer or the level of care being provided. Any temporary residence of a consumer is to be identified under the “*Locations*” field in consumer “*Details*”

**19.5. Care Enrollment**

- 19.5.1. Consumer records may include multiple-care enrollments for various categories of services
- 19.5.2. The start date of care enrollment is to be the date when a consumer is enrolled for services. An end date is to be entered when a service is completed
- 19.5.3. Consumers are to have only one care plan per care program with a start date of when a consumer is to start receiving services and an end date of 12/31/2060. Consumers may have more than one care plan if they move out of the state or are admitted into an institutional facility for a period of time and then return to community living. Providers can create multiple service plans with different services and providers under one care plan

- 19.6.** Consumer IDs created by the A&D database will be permanent and will not change unless a correction is made to a consumer’s DOB; in which case, A&D will automatically update the ID

- 19.7.** Re-Assessments must be completed as specified by state and federal policies

## 20. Reporting

- 20.1. Each AAA and ALTSD have access to the statewide database and can run reports to validate data; accuracy and timing of data entry is critical
- 20.2. The following reports can be retrieved directly from the A&D database:
- 20.2.1. Monthly meal count report
  - 20.2.2. Quarterly performance-based budgeting report and annual A&D report (State Program Report)
- 20.3. When saving report definitions in the A&D database, users are to identify reports with the following:

Reports, Rosters, and Routes—Naming Convention		
Report, Roster, Route	Entities	EXAMPLE
<input checked="" type="checkbox"/> Report	<b>AAAs—</b> City of ABQ/Bernalillo County AAA, Non-Metro AAA, Indian AAA, Navajo AAA <b>PSAs Administered—</b> PSA 1, PSA 2, PSA 3, PSA 4, PSA 5, PSA 6	All reports, rosters and routes are to be identified with the name of the PSA administered by an AAA—the Provider—the data type <i>(Example: PSA2—City of Santa Fe—Meals)</i>
<input checked="" type="checkbox"/> Report	<b>Provider Organization that receives funding directly from the ALTSD—</b> <b>*Example—</b> Alzheimer's Association	All reports are to be identified with ALTSD—the Provider Organization—the data type <i>(Example: ALTSD—Alzheimer's Association—EData Unitcation)</i>
<input checked="" type="checkbox"/> Report	<b>Provider Organization that receives funding directly from an AAA—</b> <b>*Example—</b> Alzheimer's Association	All reports are to be identified with the name of the PSA administered by the AAA—the Provider Organization—the data type <i>(Example: PSA1— Alzheimer's Association—Homemaker Respite)</i>
<input checked="" type="checkbox"/> Report	Divisions, Bureaus, and sub-entities in the ALTSD	All reports are to be identified with the name of the ALTSD Division—the sub-entity—the data type <i>(Example: AND—OADC—performance measure 7)</i>

## **21. Change Request Forms**

- 21.1.** NMALTS Provider Addition or Change Request forms (Provider Add-Change Request DBOG Form 520 and WellSky User Request (DBOG Form 510) are to be used by AAAs and submitted to ALTSD to request changes in the administrative structure of the A&D database
- 21.2.** Completed Change Request forms are to be reviewed and approved by a designated administrative authority prior to submission to ALTSD
- 21.3.** Change Request forms are to be completed for the following:
  - 21.3.1. Issuance of or changes in A&D database portal IDs
  - 21.3.2. Issuance of or changes in A&D permission levels
  - 21.3.3. Additions to and/or changes of towns, cities or zip codes
  - 21.3.4. Additions to and/or changes to and/or deactivation of providers or sites
  - 21.3.5. Additions to and/or changes to and/or removal of services
  - 21.3.6. Other changes to the administrative structure as may be needed.

## 22. WellSky Human Services/APS Database

This section has been completed by Adult Protective Services (APS)

### 22. APS

- 22.1. Persons affected: APS Intake staff
- 22.2. Standards: Access WellSky/APSS database to input confidential identifying participant data and generate reports for review by APS Investigative Supervisors
- 22.3. Use of Data
  - 22.3.1. Create WellSky/APSS Intake regarding issues of Abuse Neglect and/or Exploitation (ANE) of the Alleged Victim (AV)
  - 22.3.2. Gather participant information for all parties named by the Reporting party such as names, demographic information, date of birth and diagnosis of AV
  - 22.3.3. Identify and record allegations of ANE
  - 22.3.4. Search and verify prior history regarding the AV by conducting a search by name of the AV
  - 22.3.5. Attach documentation, if necessary, to intake report for review
  - 22.3.6. Ensure all data fields are completed and submit intake for review
- 22.4. Referring clients to Nutrition Service Providers
  - 22.4.1. Adult Protective Services has begun using the AAA Nutritional Services assessment as part of all APS investigations. The AAAs shall require Aging Network Providers who receive referrals of clients to accept any Department approved assessments, such as Adult Protective Services assessments, to determine appropriate or necessary services. Acceptance of such assessments will allow providers to expedite referral for immediate services to vulnerable APS clients.
- 22.5. Adult Protective Services (WellSky/APSS) Users
  - 22.5.1. Persons affected: APS Division Director, Deputy Director, Investigative Caseworkers, Supervisors, Managers, APS Clinical staff, APS Community Engagement Specialist and supportive staff
  - 22.5.2. Standards:
    - 22.5.2.1. Access: is role-based (Director, Manager, Supervisor, Investigator, intake, etc). Access is requested and approval are processed by APS Management and ALTSD-IT.
    - 22.5.2.2. Users of the WellSky/APSS database are to comply with the policies and procedures set by APS
    - 22.5.2.3. Users will ensure data is protected in accordance to its sensitivity and per the confidentiality standards of the APS
    - 22.5.2.4. Access is terminated immediately upon transfer, separation, or reassignment.
  - 22.5.3. Responsibilities:
    - 22.5.3.1. APS investigative staff and supporting staff will use WellSky/APSS information and data to investigate on issues of Abuse, Neglect and Exploitation (ANE) for any vulnerable adult in the State of New Mexico
    - 22.5.3.2. Users will gather and input information obtained in an investigation into WellSky/APSS in accordance to APS Policy and Procedures
    - 22.6.3.3. Users will ensure accurate, timely, and complete data entry
    - 22.6.3.4. Investigative staff will use WellSky/APSS to input and secure investigative information into the system to reflect efforts and outcomes of each investigation
    - 22.6.3.5. Users are responsible for using WellSky/APSS tools to conduct a thorough intake, screening, and investigation
    - 22.6.3.6. APS users generate statewide, regional, or unit-level data reports for multiple purposes to include but no limited to: Federal, State, Legislative, Grant, and public reporting.(Note: reports exclude personally identifying information when used for public, legislative or other purposes.)
    - 22.6.3.7. User are responsible for utilizing WellSky/APSS program evaluate, trend analysis, and resource allocation.

**22.7.4. Practices:**

**21.7.4.1. Each APS Personnel**

- 21.7.4.1.1. Is a designated member of APS
- 21.7.4.1.2. Will receive a secure login in from ALTSD IT Division
- 21.7.4.1.3. Each designated member will receive training on WellSky/APSS
- 21.7.4.1.4. Members will follow confidentiality and proper data entry per APS policies and procedures
- 21.7.4.1.5. Each member will use the data to conduct investigations of A.N.E.

## 23. Ombudsman

This section was completed by the Ombudsman.

### 23. Long-Term Care Ombudsman Program (LTCOP)

- 23.1 Persons affected: LTCOP staff and designated volunteers—regional coordinators, ombudsman supervisors, Deputy Ombudsman, State Ombudsman, ALTSD senior staff, ombudsman volunteers
- 23.2 Standards: Access WellSky/Ombudsman database to input confidential identifying participant data, program details, and ombudsman activities and for review by LTCOP regional coordinators, Deputy Ombudsman, and State Ombudsman
- 23.3. Use of Data: WellSky/Ombudsman is the system of record for New Mexico LTCOP
  - 23.3.1. Create Cases regarding complaints regarding problems related to health, safety, welfare, and rights of individuals who live in long-term care facilities (system of record)
    - 22.3.1.1 Gather information necessary to complete investigation
      - 23.3.1.1.1 Resident level information
      - 23.3.1.1.2 Complainant level information
      - 23.3.1.1.3 Facility level information
      - 23.3.1.1.4 Perpetrator level information
      - 23.3.1.1.5 Complaint details (description, documents/ attachments, activities)
  - 23.3.1.2 Categorize components of complaint investigation for trend analysis
    - 23.3.1.2.1 Categorize types of complaints
    - 23.3.1.2.2 Categorize outcomes
    - 23.3.1.2.3 Categorize dispositions
    - 23.3.1.2.4 Time related details (time/date and length of investigation)
  - 23.3.2 Input LTCOP ombudsman activities for reporting and trend analysis
  - 23.3.3 Input LTCOP program details for reporting and trend analysis
    - 23.3.3.1 LTCOP staff activities
    - 23.3.3.2 Ombudsman volunteer activities
    - 23.3.3.3 State long-term care system details (facilities, capacity, etc.)
- 23.4 Responsibilities:
  - 23.4.1 LTCOP WellSky/Ombudsman authorized users will use information and data to conduct investigations related to complaints regarding problems related to health, safety, welfare, of individuals living in long-term care facilities
  - 23.4.2 Users will gather, and input information obtained in an investigation into WellSky in accordance with LTCOP Policy and Procedures.
  - 23.4.3 Users will ensure timely and accurate data entry
  - 23.4.4 LTCOP regional coordinators will ensure the input of secure and complete investigative information into the system to reflect efforts and outcomes of each investigation.
  - 23.4.5 LTCOP regional coordinators will ensure input of LTCOP ombudsman activities and program details.
- 23.5 Practices:
  - 23.5.1. Each LTCOP regional coordinator, ombudsman supervisor, Deputy Ombudsman, and State Ombudsman:
    - 23.5.1.1 Is a designated member of LTCOP.
    - 23.5.1.2 Will receive a secure login in from ALTSD IT Unit.
    - 23.5.1.3 Will receive training on Well Sky.
    - 23.5.1.4 Will follow confidentiality and proper data entry per LTCOP policies and procedures.
    - 23.5.1.5. Will use the data to conduct investigations and perform other ombudsman activities

## APPENDIX

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## ATTACHMENT 1—References

1. Older Americans Act of 1965
2. Administration for Community Living/Administration on Aging – Title III State Performance Report (SPR), OMB Control No.: 0985-0072 Expires 07/31/2024)
3. Aging and Disability Administrator Guide Dec 2020
4. Aging Disability User Guide R20 September 2021
5. Next Gen Customer Portal User Guide (2/2/2021)
6. ServiceScan User Guide Oct2020
7. Department of Health and Human Services, Memorandum: Guidance on the Administrative Simplification Provisions of the Health Insurance Portability and Accountability Act of 1996 (HIPAA)
8. New Mexico Aging and Long-Term Services Department, Confidentiality Agreement
9. New Mexico Aging and Long-Term Services Department, Training Form
10. New Mexico Aging and Long-Term Services Department, Area Plan Guidelines
11. State Agency on Aging, State Action Memorandum, SAM 98-8, dated August 21, 1998
12. State Agency on Aging Memorandum dated October 14, 1998, Subject: Meal Count Signatures
13. ACL [Letter to ACL Grantees on Section 504 Rule | ACL Administration for Community Living](#)
14. NMAC 2025 Link: [Administrative Rules - New Mexico Aging and Long-Term Services Department - ALTSD](#)



## **ATTACHMENT 2—Forms**

1. Confidentiality Agreement, *DBOG Form 500*
2. Add/Change Request Form, *DBOG Form 520*
3. NMALTS WellSky Portal User Request, *DBOG Form 510*
4. Aging & Disability WellSky Training for ALTS, Agencies, Providers, *DBOG Form 540*



NEW MEXICO AGING AND LONG-TERM SERVICES DEPARTMENT  
Confidentiality Agreement

DBOG Form  
500

This CONFIDENTIALITY AGREEMENT is intended to maintain the privacy of confidential, personal information that may be provided by clients/

consumers in the course of accessing services. Confidential, personal information may be provided and maintained in several forms—verbal, written or electronic (such as in a computer database). This CONFIDENTIALITY AGREEMENT must be signed by all persons who will access the A&D database, Ombudsman, APSS—Human Services databases (containing confidential, personal information) before they are provided with passwords to access the A&D database, Ombudsman, APSS—Human Services.

I understand that in the course of my work with the A&D database, Ombudsman, APSS—Human Services databases and NM Aging and Long-Term Services Information Systems, I may learn certain facts about individuals being served that are of a highly personal and confidential nature. Examples of confidential information are Social Security numbers, names of clients/consumers, medical conditions and treatments, income, assets, living arrangements and relationships with family members. Such information must be treated as completely confidential and is not to be shared with any unauthorized person without exception, including family members. Any breach of confidentiality concerning clients/consumers may result in severe penalties up to dismissal, as well as possible prosecution to the fullest extent of the law, where applicable.

Guidelines to follow to maintain confidential information are:

1. Secure confidential information and documents in locked cabinets when not in use;
2. Do not leave confidential information or data where it can easily be observed;
3. Do not remove any confidential information from an organization's office without specific authorization to do so;
4. Properly dispose of (shred) all confidential information when no longer needed;
5. Properly mark and secure confidential information before transmittal;
6. Immediately notify a supervisor or an authorized person of any possible violation of confidentiality;
7. Talk to a supervisor or an authorized person regarding any questions about confidentiality and/or any possible violation of such confidentiality.
8. When using the A&D database, Ombudsman, APSS—Human Services;
  - Keep all user logins and passwords confidential and secure;
  - Shut down the A&D database, Ombudsman, APSS—Human Services application and log out when the workstation is unattended;
  - Never delete or remove data from the A&D database, Ombudsman, APSS—Human Services.

Only authorized users who have signed this confidentiality agreement may use or view A&D, Ombudsman, APSS—Human Services.

I agree not to disclose client/consumer information of a personal and confidential nature to anyone except to those individuals with a valid need to know that my employer has identified after assuring that a client/consumer has signed a release of information form. **My signature below warrants that I have read, understand, and will follow this New Mexico Aging and Long-Term Services Department CONFIDENTIALITY AGREEMENT.**

For ALTSD employees, any breach of confidentiality concerning clients/consumers may result in severe penalties up to dismissal, as well as possible prosecution to the fullest extent of the law, where applicable.

For AAAs, any breach of confidentiality concerning clients/consumers may result in severe penalties and loss of A&D privileges up to and including termination of user authorization. Additional penalties may be determined by the AAA.

For Providers, any breach of confidentiality concerning clients/consumers may result in severe penalties and loss of A&D privileges up to and including termination of user authorization. Additional penalties may be determined by the Provider.

Mark those that apply:

☐ A&D User

☐ Ombudsman User

☐ APSS—Human Services User

Signature			
Print name		Date	Click here to enter a date.
Name of Employer Organization			
Email Address		Phone	
Program Director			
Signature			
Print name		Date	Click here to enter a date.

A&D Business Operations Guide Form 500—Version 10.2025

**NEW MEXICO AGING AND LONG-TERM SERVICES DEPARTMENT**  
**Add—Change Request Form**

**PURPOSE:** This form is to be submitted with a Helpdesk ticket to request an addition or change to the A&D database. By submitting this form, you are officially notifying ALTSD of the requested addition or change to the A&D database.

**Person requesting change**

First Name	Last Name	Agency/Provider/Site
Work Phone	E-Mail	Request Date

**Program Definition Requests**

Fund Identifiers:	<input type="checkbox"/> Add	<input type="checkbox"/> Update	<input type="checkbox"/> Deactivate
	Fund Identifier Code:	Distribution Priority:	
	Description:		
	Services:		
	Start Date:	End Date:	
Levels of Care:	<input type="checkbox"/> Add	<input type="checkbox"/> Update	<input type="checkbox"/> Deactivate
	Description:		
	Start Date:	End Date:	
	Care Programs:		
Service Categories:	<input type="checkbox"/> Add	<input type="checkbox"/> Update	<input type="checkbox"/> Deactivate
	Family Caregiver Program Type:	Description:	
	Services:		
Service Programs:	<input type="checkbox"/> Add	<input type="checkbox"/> Update	<input type="checkbox"/> Deactivate
	Description:		
	Services:		
	Start Date:	End Date:	
Services:	<input type="checkbox"/> Add	<input type="checkbox"/> Update	<input type="checkbox"/> Deactivate
	Description:	Service Category:	
	Unit Type:	NAPIS Service:	
	Requires Contract: <input type="checkbox"/>	Other:	
Subservices:	<input type="checkbox"/> Add	<input type="checkbox"/> Update	<input type="checkbox"/> Deactivate
	Service:	Description:	

☐ This request has been approved by the A&D User Group (SUG). (If approved by SUG, the justification sections below are not required.)

**Justification Section—New Service(s) or Sub-Service(s) Requested:**

Description of request:

Why is the request necessary?

What would be the impact of implementing this request? (Who will be affected?)

## A&D Business Operations Guide Form 520—Continued

Justification Section—Projected Outcome			
Pros		Cons	
Organization Requests			
Instructions:	AAA Admins: Please create and test the Provider(s) and/or Site(s) to be added in the Test site (Sandbox). Once you have done so, ALTSD IT will mirror the additions in the Production site.		
Note:	If you need full administrative privileges in the Test site, please contact the ALTSD IT Helpdesk.		
Providers:	<input type="checkbox"/> Add	<input type="checkbox"/> Update	<input type="checkbox"/> Deactivate
	Name(s):		
Sites:	<input type="checkbox"/> Add	<input type="checkbox"/> Update	<input type="checkbox"/> Deactivate
	Name(s):		
<input type="checkbox"/> This request has been approved by the A&D User Group (SUG).			
Process Checklist			
Completed and Dated	Step Number	Action	Responsibility
<input type="checkbox"/>	1. Fill out form	Complete the Add—Change Request Form	Requestor
<input type="checkbox"/>	2. Submit form to ALTSD Helpdesk	IT with SUG, when appropriate, determines viability of the request	IT and/or SUG
<input type="checkbox"/>	3. Implement request	IT notifies the requestor of the decision	IT
<input type="checkbox"/>	4. Reject request	IT notifies the requestor of the decision	IT

A&D Business Operations Guide Form 520—Version 8.10.1.2025

**NEW MEXICO AGING AND LONG-TERM SERVICES DEPARTMENT**  
**ALTSD WellSky Portal User Request**

Request Date:

New User Information		
User Request	Agency	Provider
First Name	Middle Initial (not required)	Last Name
Work Phone	Email Address	
Previous User Information (if applicable)		
Name	Portal ID	Email Address
A&D Access		
<input type="checkbox"/> A&D	<input type="checkbox"/> A&D I&R	<input type="checkbox"/> Other
Other Applications		
<input type="checkbox"/> ServiceScan Desktop	<input type="checkbox"/> Import/Export Utility	<input type="checkbox"/> Other
<input type="checkbox"/> ServiceScan Mobile	<input type="checkbox"/> OAAPS	
<input type="checkbox"/> Assessment Designer	<input type="checkbox"/> Mobile Assessments (ABQ Only)	
<input type="checkbox"/> Assessment Analyzer	<input type="checkbox"/> Microsoft Access	
Notes		
Please enter any additional comments or questions below.		

# WellSky—A&D Training for ALTSD, Agencies, and Providers

## 1. A&D Training Modules

Below is a link to each of the A&D application training modules in the WellSky portal. The time listed by each video does not consider how long it will take each user to perform the hands-on exercises.

The Training Modules are located in the WellSky portal. You can find them under the WellSky Quick Links.

The list of WellSky Training Videos can be found in the WellSky Portal and are subject to change. Your WellSky administrator will determine which training videos are most appropriate for your position.

The screenshot displays the WellSky portal interface for the 'Organization: NM State of New Mexico'. The left sidebar contains three main sections: 'Application Links' (with 'Aging & Disability' and 'Aging & Disability - Test'), 'Customer Quick Links', and 'WellSky Quick Links'. The 'WellSky Quick Links' section lists various tools and resources, including 'WellSky Training', which is highlighted by a red arrow. The main content area on the right, under the 'WellSky' logo, shows a list of 'Applications' under the 'Aging and Disability' category. This list includes numerous modules with their respective durations, such as 'Activities and Referrals (10:01)', 'Aging and Disability Next Generation Intro (12:09)', 'Assessments (14:36)', 'Automated Workflows (13:44)', 'Care Plan Basics (11:17)', 'Claims - Introduction (10:11)', 'Consumer Merge (6:37)', 'Consumer Records Part 1 (13:52)', 'Consumer Records Part 2 (12:21)', 'Contracts (12:56)', 'Customer Portal - Next Gen Customer Portal for Users (5:21)', 'Customer Portal - Next Gen Customer Portal for Admins (16:57)', 'Information and Referral Module (16:43)', 'Journals (7:33)', 'My Dashboard (9:09)', 'My Settings (10:00)', 'Reports (9:31)', 'Rosters - Entering Service Deliveries (14:08)', 'Rosters - Roster Definitions (10:82)', 'Routes - Creating (9:37)', 'Routes - Working With (11:15)', 'Saved Searches (12:33)', 'Service Orders (9:34)', 'Service Deliveries - Manual (10:51)', 'Service Deliveries - Delivery Confirmation Wizard (6:11)', 'File Attachments (6:31)', 'Unit Distribution (7:55)', and 'Caregiver\_Care Recipient Service Deliveries.mpg (10:47)'. A second red arrow points from the 'WellSky Training' link in the sidebar to the 'WellSky Training' module in the main content area.

2. **A&D Sandbox** (practice)—after completion of the above Training Modules and prior to being granted access to the live A&D database, training components as assigned by the users' supervisor, are to be completed.

I have completed the A&D database training modules.

Name		Date
Signature		
Supervisor's Signature		

## Database Business Operations Guide Form 540—Version 7.2024

### summary 2023 Aging and Long-Term Services Department Enhancements

**APS WellSky Training**—The required training for APS staff members will be determined by the division.

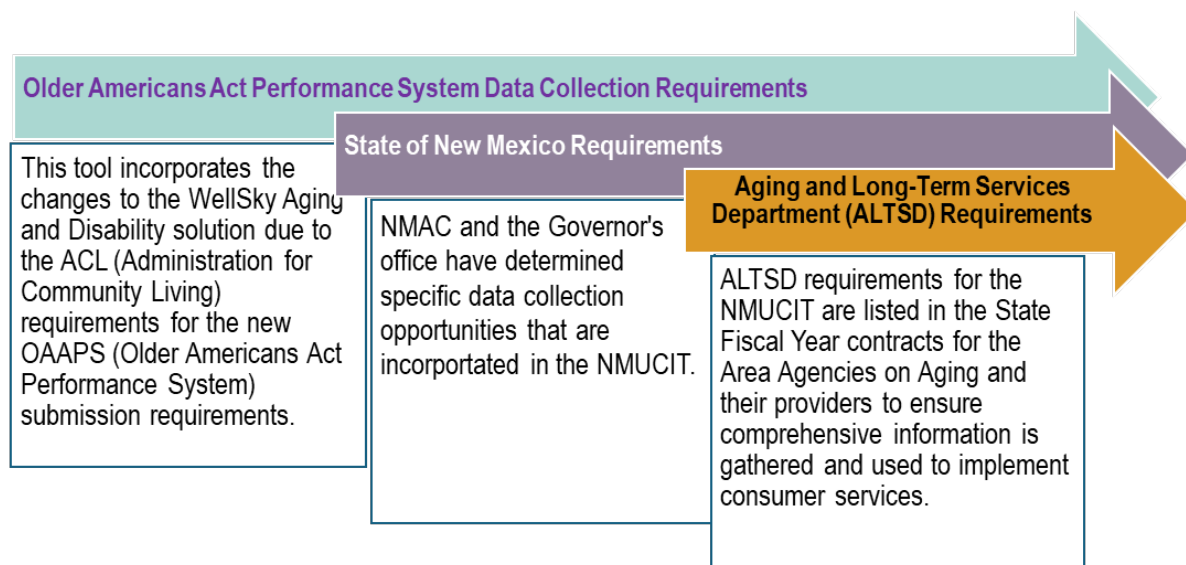
**Ombudsman WellSky Training**—The training required for Ombudsman staff members and/or volunteers will be determined by the State Ombudsman. OAAPS replaced the Ombudsman Reporting Tool (ORT). The State Long-Term Care Ombudsman or their designee will use OAAPS to submit the state annual National Ombudsman Reporting System (NORS) report.

**Aging Network Division Training**— The required training for will be determined by the Aging Network Division Director and is designed for New Mexico Aging and Long-Term Services Department staff, Area Agencies on Aging, other designed Agencies, and Providers throughout New Mexico.

**OAAPS is the Older Americans Act Performance System used for submitting required federal annual reports to the Administration for Community Living (ACL). The WellSky A&D database captures the essential data required for OAAPS reporting. — The staff who requires OAAPS training will be determined by the Aging Network Division Director.**

**New Mexico Universal Consumer Information Tool (NMUCIT)**— will provide the following required data for the State Unit on Aging (SUA) in New Mexico to comply with OAAPS. Data collection will occur in the WellSky A&D database in a timely, efficient manner with specified dates for submission. The NMUCIT tool has been implemented and revised as of 10.1.2025..

If an Area Agency on Aging wishes to ask additional questions, they may create a supplemental form.





## ATTACHMENT 3—Abbreviations, Acronyms, and Terms

### Abbreviations and Acronyms

<b>AAA</b>	Area Agency on Aging
<b>ACL</b>	Administration for Community Living
<b>A&amp;D</b>	Aging & Disability—or A&D®—a relational database that allows New Mexico Aging Network providers to manage consumers and the services offered to them. The software application is provided under a license agreement with WellSky, Inc. The agreement contains restrictions on the use of the software and is protected by copyright law. Reverse engineering of the software is prohibited. All users are covered by this license agreement.
<b>ADRC</b>	Aging & Disability Resource Center
<b>DATA UNIT</b>	Data Unit
<b>HIPAA</b>	Health Insurance Portability and Accountability Act of 1996
<b>IAAA</b>	Indian Area Agency on Aging
<b>NMALTS</b>	New Mexico Aging and Long-Term Services Department—the state agency that requires its aging network contractors to enter consumer data in the A&D database
<b>NMUCIT</b>	New Mexico Universal Consumer Information Tool
<b>PSA</b>	Planning and Service Area
<b>OAA</b>	Older Americans Act
<b>OMB</b>	Office of Management and Budget
<b>OAAPS</b>	Older Americans Act Performance System
<b>DBOG</b>	WellSky Business Operations Guide

### Terms

<b>Agency</b>	AAA and its employees, other ALTSD contract organizations utilizing A&D, distinct units within ALTSD utilizing A&D
<b>Business Driver</b>	People, knowledge, and conditions that initiate and support activities for which the business was designed
<b>Consumer</b>	Any person receiving services or assessments, or who may receive services or assessments for whom data is entered into A&D
<b>Data Integrity</b>	The overall completeness, accuracy and consistency of data; it can be maintained through the use of various error checking methods and validation procedures
<b>WellSky Customer Portal</b>	The portal provided by WellSky for the A&D database used by ALTSD and its aging network. The customer portal provides the ALTSD and its contractors with web-based access to the A&D database. The service is available 24 hours a day, 7 days a week, except for periodic scheduled maintenance. Access to the customer portal is limited by user ID
<b>Manager</b>	The person who has control or direction of a division, bureau, agency, or entity
<b>Provider</b>	Contracted Aging Network service provider and its employees, including ALTSD and AAA contracted Aging Network service providers
<b>Regulation Reference Authority</b>	Includes the Older Americans Act of 1965, as amended in 2016; Reporting Requirements for Title III and VII of the Older Americans Act; the New Mexico Accountability in Government Act, NMSA 1978; contracts between the ALTSD, AAAs, other Agency-Level contractors, and service providers
<b>Service Delivery</b>	The act of providing services (chore work, case management, personal care, home delivered meals, homemaking, adult day care, congregate meals, and transportation are examples of services)
<b>State Unit</b>	The ALTSD and its employees
<b>Units of Service</b>	Title III State Performance Report Appendix A Definitions— LINK: <a href="#">RESOURCE.Acronyms.Definitions.UnitsOfService.UCIT .WEBSITE.pdf</a>
<b>WellSky</b>	A supplier of software for health care and human service providers and payers that provides ALTSD WellSky Customer Portal and A&D database

## ATTACHMENT 4—AAA/Provider Minimum Required Elements for Assessments

### Services for older adults funded by Titles III B/C/D

Registered Services, Demographic data are required for the following services:

1. Personal Care*	2. Homemaker*	3. Chore*	4. Home Delivered Nutrition* **	5. Adult Day Care/Health*	6. Case Management*	7. Assisted Transportation
8. Congregate Nutrition**	9. Nutrition Counseling**	10. Legal Assistance (Aggregated, de-identified demographic data required)				

\*Data on Activities of Daily Living (ADLs) and Instrumental Activities of Daily Living (IADLs) are required for services 1-6

\*\*Nutrition Risk Scores are required for services 4, 8, and 9

Non-Registered, No Demographic Data Required

1. Transportation	2. Nutrition Data	3. Information and Assistance	4. Health Promotion: Evidence-Based	5. Health Promotion: Non-Evidence-Based
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### Services for Caregivers of Older Adults and Older Relative Caregivers (caring for Children and Adults with Disabilities) (age under 60) funded by Title III E

Demographic Data is Required for the following Caregiver services:

1. Counseling	2. Training	3. Respite (all types)	3.1 In-Home Respite	3.2 Out-of-Home Respite (day)
3.3 Out-of-Home Respite (overnight)	3.4 Other Respite	4. Supplemental Services	5. Assistance: Case Management	

No Demographic Data is Required for the following Caregiver services:

1. Support Groups	2. Assistance: Information and Assistance	3. Information Services (public)
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### Demographics and Consumer Characteristics:

#### 1. Age (Older Adult Titles III B/C/D)

1.1. <60	1.2. 60-64	1.3. 65-74	1.4. 75-84	1.5. 85+
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#### 2. Age (Caregiver—Title III E)

2.1. 18-49	2.2. 50-59	2.3. 55-59	2.4. 65-74	2.5. 65-74	2.6. 75-84	2.7. 85+
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2.8. Children receiving care: An individual who is not more than 18	2.9. Adult with disabilities receiving care (18-59)
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#### 3. Gender (9.2025 ACL modified to Sex—Deleted Other)

3.1. Female	3.2. Male	3.3. Other
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#### 4. Ethnicity

4.1. Hispanic or Latino: Of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race	4.2. Not Hispanic or Latino: Not of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race
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#### 5. Race

5.1. American Indian or Alaska Native	5.2. Asian	5.3. Black or African American	5.4. Native Hawaiian or Pacific Islander	5.5. White
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#### 6. Minority Standards

6.1. Minority	6.2. Not Minority
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#### 7. Poverty Status

7.1. At or Below Poverty	7.2. Above Poverty
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#### 8. Geographic Distribution

8.1. Rural	8.2. Urban				
<b>9. Household Status (Older Adult)</b>					
9.1. Lives Alone	9.2. Lives with Others	9.3. Lives in Long Term Care Facility			
<b>10. ADL Limitations (Older Adult)</b>					
10.1. 0–1	10.2. 2	10.3. 3+			
<b>11. IADL Limitations</b>					
11.1. 0–1	11.2. 2	11.3. 3+			
<b>12. Nutrition Risk Score (Older Adult):</b> Indicates the person's total score on the DETERMINE your Nutritional Risk checklist published by the Nutrition Screening Initiative.					
<b>13. Relationship (Caregiver)</b>					
13.1. Husband	13.2. Wife	13.3. Domestic partner, including civil union		13.4. Son/Son-in-Law	
13.5. Daughter/Daughter-in-law		13.6. Sister	13.7. Brother	13.8. Grandparent	13.9. Parent
13.10. Other Relative		13.11. Non-Relative			

## ATTACHMENT 5—ALTSD Desk Reference Guide Title III Clusters



### ALTSD Desk Reference Guide

#### Title III Clusters—Older Americans Act Performance System (OAAPS)

**Title III Cluster 1: Registered Services** — A service provided for older adults under OAA Title III for which ADL limitations and IADL limitations characteristics are reported in addition to the other consumer demographics and characteristics.

Service	Demographic/characteristic
Personal Care Homemaker Chore Home Delivered Nutrition Adult Day Care/Health Case Management	<ul style="list-style-type: none"> <li>Age</li> <li>Gender Sex revised 9.25</li> <li>Geographic Distribution</li> <li>Poverty Status</li> <li>Household Status</li> <li>Ethnicity Distribution</li> <li>Race Distribution</li> <li>Minority Distribution</li> <li>Nutrition Risk (for Home Delivered Meals Only)</li> <li>Malnutrition (for Home Delivered Meals Only)</li> <li>Food Insecurity (for Home Delivered Meals Only)</li> </ul>

**Title III Cluster 2: Registered Services** — A service provided for older adults under OAA Title III for which ADL limitations and IADL limitations characteristics are *not* reported in addition to the other consumer demographics and characteristics.

Service	Demographic/characteristic
Assisted Transportation Congregate Nutrition Nutrition Counseling	<ul style="list-style-type: none"> <li>Age</li> <li>Gender Sex revised 9.25</li> <li>Geographic Distribution</li> <li>Poverty Status</li> <li>Household Status</li> <li>Ethnicity Distribution</li> <li>Race Distribution</li> <li>Minority Distribution</li> <li>Nutrition Risk (for Congregate Meals Only)</li> <li>Malnutrition (for Congregate Meals Only)</li> <li>Food Insecurity (for Congregate Meals Only)</li> </ul>

**Title III Cluster 3 Non Registered Services** — Services provided using OAA funds in whole or in part for which demographic and consumer characteristics are not reported.

Service	Basic Eligibility Requirements (Local Policy Determines Information)
Transportation Nutrition Education Other Services Evidence-based health promotion disease prevention Non-evidence-based health promotion disease prevention  Information and Assistance Outreach	Name Age

#### Title III, VII, State Funded Legal Assistance — Demographic and Consumer Characteristics

<ul style="list-style-type: none"> <li>Age</li> <li>Gender</li> <li>Geographic Distribution</li> <li>Poverty Status</li> </ul>	<ul style="list-style-type: none"> <li>Household Status</li> <li>Ethnicity Distribution</li> <li>Race Distribution</li> <li>Minority Distribution</li> </ul>
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#### Title III E Caregiver Support Categories — Caregivers of Older Adults AND Older Relative Caregivers

Registered Service	Demographic/characteristic
<ul style="list-style-type: none"> <li>Counseling</li> <li>Training</li> <li>Supplemental</li> <li>Case Management Assistance</li> </ul>	<ul style="list-style-type: none"> <li>Respite <ul style="list-style-type: none"> <li>In-home</li> <li>Out-of-Home (day)</li> <li>Out-of-Home (overnight)</li> <li>Other Respite</li> </ul> </li> <li>Age</li> <li>Gender</li> <li>Geographic Distribution</li> <li>Poverty Status</li> <li>Ethnicity Distribution</li> <li>Relationship Status</li> </ul>

#### Title III E Caregiver Support Categories — Caregivers of Older Adults AND Older Relative Caregivers

Unregistered Service
<ul style="list-style-type: none"> <li>Support Groups</li> <li>Information and Assistance</li> <li>Public Information Services</li> </ul>

Version: 10.2025